

Michigan Department of Civil Service

REGULATION

Appointing Authority Letter Reference: CS-6897	Effective Date: <u>August 20, 2000</u> April 25, 1999	Index Reference: Preauthorized Classifications and Transactions, Renumberings	Regulation Number: 4.02
Issuing Bureau: Human Resource Services	Rule Reference: Civil Service Commission Rules <u>1.03</u> , 4-1.1, 4-1.2, 4-1.3, 4-1.4, 4-1.4a, 4-1.5, 4-1.6 , 4-2.1, 4-2.1d, and 4-4.1, and 8-1.81		Replaces: Reg. 4.02 (CS-6803, July 14, 1996) <u>April 25, 1999</u>
Subject: PREAUTHORIZED CLASSIFICATIONS AND TRANSACTIONS			

1. PURPOSE

The purpose of this regulation is to define and establish the standards and procedures governing the preauthorization of reclassification through grade-levels of positions in preauthorized classifications.

2. RULE REFERENCE

~~Chapter 4 of the Michigan Civil Service Commission Rules provides the basis for position establishment and classification. Civil Service Commission Rules state:~~

- A. Rule 1.3 Regulations. --- The state personnel director is authorized to issue regulations that the director deems to be necessary or useful. A regulation issued by the state personnel director shall be binding on the department of civil service unless the commission finds that the regulation violates a rule. The state personnel director shall make all regulations available to employees through their personnel offices and the internet.
- B. Rule 4-1.1 Requirement. — All positions must be established in the classified service unless except where specifically exempted or excepted by article 11, section 5, of the constitution, or by these rules.
- C. Rule 4-1.2 Classification Allocation. — All positions established in the classified service shall must be reviewed to classify the position properly. for purposes of determining their appropriate allocations.

D. Rule 4-1.3 Authority to Establish. — The appointing authority may establish a position for reasons of administrative efficiency. ~~An~~No appointment ~~shall~~cannot be made to ~~any~~a position until ~~that position~~it has been established and ~~classified~~allocated.

E. Rule 4-1.4 Classification Plan. — The commission shall authorize an official classification plan for all positions in the classified service, ~~which shall be administered by~~ The department of civil service shall administer the official classification plan.

(a) **Classification**~~Allocation~~. Every position established ~~shall~~must be ~~allocated~~classified ~~in~~classified in accordance with the official classification plan. . . .

(b) **Reclassification**. The department of civil service may reclassify an employee if the employee's position has experienced gradual growth and accretion of higher level duties and responsibilities. The appointing authority must certify that the employee is satisfactorily performing the duties of the position.

(b)(c) **Predetermined classes** classification and classification levels. An aa Appointing authority~~ies~~ may ~~establish~~reclassify positions in predetermined ~~classes~~classifications and classification levels ~~and levels~~ in accordance with the regulations issued by the state personnel director governing preauthorized positions.

~~**Rule 4-1.5 Effective Date of Establishment.** — Positions will be established and allocated on a current basis.~~

~~**Rule 4-1.6 Regulations.** — The state personnel director shall issue any regulations necessary to implement the provisions of this chapter.~~

F. Rule 4-2.1 Position AllocationClassification Review. — The department of civil service ~~shall~~will provide for both a periodic and ongoing review of positions in the classified service ~~for the purpose of reviewing the allocations of positions~~ to ensure they positions continue to be properly classified.

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(d) **Preauthorized review**. An Appointing authority~~ies~~ may ~~reallocate~~reclassify a positions in accordance with regulations ~~issued by the state personnel director~~ governing preauthorized positions.

G. Rule 4-4.1 Authority to Abolish. — The appointing authority may abolish a position for reasons of administrative efficiency, including, for example, lack of work, lack of adequate funding, change in departmental mission, or reorganization of the work force, or absence of sufficient funds.

3. DEFINITION

A. Civil Service Commission Rules. *The following are defined in Civil Service Commission Rules:*

8-1.81 Preauthorized.—*Preauthorized means the specific authorization granted to an appointing authority to process a transaction in accordance with civil service rules and regulations without prior civil service review.*

B. Additional Definitions. *As used in this regulation:*

Preauthorized Classification Actions is defined in the Equitable Classification Plan (ECP) *Glossary of Terminology* as follows:

The authorization granted by Civil Service for an appointing authority ~~ies~~ to ~~establish and reclassify~~ reallocate positions in predetermined classes and levels in accordance with standards and procedures published by the Department of Civil Service. Many class series are pre-authorized at the entry or beginning level through the intermediate, and up to the experienced grade-level ~~and up to the senior/lead worker level~~. Employees in a preauthorized series may be ~~reclassified~~ reallocated to the next grade-level when they meet the education, experience, and other necessary special requirements, and their job performance at the higher level is satisfactory as demonstrated by a documented performance rating.

C. REVOCATION

Failure of an appointing authority to follow the standards set forth in this regulation may result in the revocation of the appointing authority's preauthorization privilege. If preauthorization is revoked, the appointing authority must submit a Position Action Request (CS-129) for each classification transaction in accordance with Civil Service Regulation 4.01, *Establishment and Reclassification ~~Reallocation~~ of Nonpreauthorized Positions Requiring Civil Service Review*.

4. STANDARDS

A. A. ~~STANDARDS~~ ~~FOR~~ ~~POSITION~~ ~~ESTABLISHMENTS~~ ~~AND~~ ~~RECLASSIFICATIONS~~ ~~REALLOCATIONS~~

~~1. The appointing authority may establish positions as authorized by Civil Service Commission Rule 4-1.3.~~

- ~~2.1.~~ The approval of any Equitable Classification Plan (ECP) Group One or Two worker class (any position approval with a class title with an "E" designation) will result in preauthorization for the appointing authority to independently reclassify either vacant or staffed positions through the grade-levels within the class series. An appointing authority may request the preauthorization of a classification by submitting a written request to the Bureau of Human Resource Services (Bureau).
- ~~3.~~ Preauthorized classifications for an appointing authority are listed in the agency's State of Michigan – PPRISM Preauthorized Class Series Report (PE-150).
- ~~4.2.~~ Entry of preauthorized transactions into the Human Resources Management Network (HRMN) Personnel Payroll Information System of Michigan (PPRISM) serves as the Department of Civil Service's Bureau's notice of the classification action, which is subject to audit review.
- ~~5.3.~~ A preauthorized ~~establishment or reclassification~~~~reallocation~~ constitutes a ~~tacit~~ certification by the appointing authority that the delegated duties and responsibilities are compatible with the preauthorized action taken and that any affected ~~employee~~~~incumbent~~ meets the classification's minimum requirements and is performing the duties satisfactorily.
- ~~6.4.~~ The appointing authority must maintain a Position Description (CS-214) form, either composite or position specific, on file for each ~~employee~~~~position~~ in a preauthorized classification. The appointing authority shall also maintain a timely probationary or annual service/performance rating showing satisfactory employee performance as a prerequisite condition to execute a preauthorized reclassification of a staffed position.
- ~~7.5.~~ The effective date for a position ~~establishment~~—~~or reclassification~~~~reallocation~~ in a preauthorized classification will be assigned in accordance with Civil Service Regulation 4.04, *Effective Dates for Classification Actions*. The appointing authority is authorized to assign retroactive effective dates to individual preauthorized actions in compliance with Regulation 4.04, *Effective Dates for Classification Actions*, standard C.1.
- ~~8.6.~~ The classification review of a filled position in a preauthorized classification can be typically conducted no more than once in any ~~one year~~~~12-month~~ period, in accordance with Civil Service Regulation 4.05, *Frequency of Review of Positions*. A ~~request~~—~~for a reclassification~~~~reallocation~~ before the ~~one year~~~~12-month~~ period ~~may~~~~must~~ be ~~executed~~~~reviewed~~ by the appointing authority ~~Bureau~~ in accordance with Civil Service Regulation 4.05.

- ~~9. The initial duration of a temporary position established in a preauthorized classification cannot exceed the two-year maximum time period allotted for the limited-term appointment, as described by Civil Service Regulation 3.10, *Appointments*.~~
- ~~10. The reallocation of a position in a preauthorized classification is not automatic. The appointing authority must certify that the incumbent meets the minimum education and experience and any necessary special requirements for the higher-level classification, certify that the incumbent is performing the higher-level duties satisfactorily, and manually enter the necessary information in PPRISM to effectuate the position reallocation. The appointing authority must maintain these certifications in the agency's position file, which is subject to an audit.~~
7. The reclassification of an employee in a preauthorized classification is not automatic. The appointing authority must certify that the employee meets the minimum requirements for the higher classification level and is satisfactorily performing the higher-level duties and responsibilities of the requested classification. The appointing authority may enter the necessary information in the HRMN to effectuate the reclassification. The appointing authority must maintain these certifications in the agency's employee file, which is subject to an audit.
- ~~11. For a senior-level reallocation, the agency must certify that the incumbent is assigned senior duties based on Civil Service agency-specific approved senior standards or the universal senior standards. For lead worker positions, the position must oversee two filled subordinate lower-level positions. Also, all of applicable criteria in Standard 10 must be met.~~
- ~~12.8.~~ A standard ~~reclassification~~reallocation progression is one grade-level, every 12 monthsone year (2080 hours) of satisfactory service for positions employees classifiedallocated at the entry/trainee levels through the experienced level. The ~~reclassification~~reallocation of an occupied position between classification-levels in a preauthorized classification should be timely processed after every 12 monthsone year, (2080 hours) of documented satisfactory performance and with delegation and performance of work assignments compatible with the higher grade-level. Reclassification of positions in the State Transitional classifications are processed in accordance with Michigan Department of Civil Service Regulation 4.03. If it is not processed at that time, tThe appointing authority must document reasons for not processing the preauthorized ~~reclassification~~reallocation, at the standard time intervals. such as documentation that the Documentation demonstrating the

~~employee incumbent is not performing duties at the higher level satisfactorily, that disciplinary action has been taken against the employee, or the position is assigned only a limited range of duties may all provide reason for not executing a preauthorized reclassification at the prescribed time intervals.~~

~~13.9.~~ An occupied ~~frozen~~restricted position in a preauthorized ~~entry or intermediate~~ classification shall not be eligible for ~~reclassification~~reallocation up to ~~any higher~~the experienced classification level in the class ~~series~~series (see Standard 5, Regulation 4.10, Frozen Classifications and Positions). ~~Once reclassified~~reallocated to the ~~experienced classification level,~~ the position will remain ~~frozen~~restricted until the position is vacated. ~~Please reference Civil Service Regulation 4.10, Position, Class, and Merit Pay Freeze Actions~~Restrictions. To process this type of ~~reclassification~~reallocation, a Position Action Request must be submitted in accordance with Civil Service Regulation 4.01, Establishment and ReclassificationReallocation Actions of Nonpreauthorized Positions that Require Civil Service Review.

~~14.10.~~ A vacant position in a preauthorized classification may be reclassified downwardgraded for an appointment only after the appointing authority has verified that there are no names on the departmental/autonomous agencyentity recall/Layoff Employment list, Types 2 and 3. ~~Please reference Civil Service Regulation 4.06, Downgrading Positions.~~ The appointing authority should refer to the collective bargaining agreement (CBA) for any contractual obligations that may apply.

~~15.11.~~ Comment lines entered in PPRISM by the appointing authority cannot be used to alter the date of an appointment or a reallocation and will not be honored for processing a future classification action. ~~The official Department of Civil Service date for the~~ reclassificationreallocation or appointment transaction will be the controlling standarddocument for establishing the effective date of processing any future ~~the position~~ reclassificationreallocation.

~~16.12.~~ If the appointing authority ~~does not~~fails to reclassifyreallocate a position in a preauthorized classification to the next classification level up to the experienced level in the preauthorized class series, the ~~employee incumbent~~employee may submit a Position Description and a request for a position review, in accordance with Civil Service Regulation 4.09, *Employee Generated Position Reviews*.

~~17.13.~~ An employeeposition in a preauthorized classification cannot be reclassifiedreallocated if the position's assigned duties experience a

substantial change where the primary function and purpose of the job changes, requiring a different base of knowledge, skills, and abilities. In these cases, a new position must be established and an appointment made in accordance with *Michigan Civil Service Commission Rules* and regulations governing selection. Please refer to Civil Service Regulation 4.01 for additional information.

B. STANDARDS FOR POSITION RENUMBERINGS

- ~~1. Position renumberings are for inventory purposes only. An appointing authority may renumber positions to reflect their proper organizational placement and reporting relationships. A position should not be renumbered if its duties and responsibilities change.~~
- ~~2. Position renumberings can be entered directly into PPRISM. The RNUM transaction code in PPRISM allows the appointing authority the ability to change the position numbers of classified and unclassified positions within the same department/agency. Please reference the *MAIN Human Resources System (HRS) Procedures Manual and Coding Manual*. The *Position Renumbering "RNUM," "DPTC," and Abolishment "ABOL"* computer report will serve as notice to the Bureau that a renumbering has occurred.~~
- ~~3. If an appointing authority is planning a major reorganization, which includes position renumberings, and has reason to believe that as a result of the renumbering there may be an impact on the proper classification of positions, in accordance with Civil Service Regulation 4.18, *Agency Reorganizations*, the appointing authority must submit Position Action Requests, Position Descriptions, and an old and new organizational chart to the Bureau for a classification review prior to entering the renumbering transaction in PPRISM.~~
- ~~4. If the Bureau's review finds that the position renumbering will impact the current classification and the duties and responsibilities, a new position must be established in the new classification and an appointment made in accordance with *Michigan Civil Service Commission Rules*, regulations, and procedures governing selection.~~
- ~~5. Because of the renumbering, if a new position is established in a different classification and the appointing authority wishes to retain the same position number, the agency must abolish the old position before the Position Action Request is submitted to the Bureau. The Position Action Request submitted for the new position will retain the position number listed on the form. This will prevent an error in the incumbent's employment history record.~~

B. C. STANDARDS FOR ABOLISHING POSITIONS

- ~~4.A.~~ The appointing authority may abolish positions as authorized by Civil Service Commission Rule 4-4.1.
- ~~2.B.~~ The Department of Civil Service will inactivate positions in the HRMN at the request of the appointing authority.~~Position abolishments can be entered directly into PPRISM. The ABOL transaction code in PPRISM allows the appointing authority the ability to abolish classified and unclassified positions within a department or an agency. Please reference the MAIN Human Resources System (HRS) Procedures Manual and Coding Manual. The Position Renumbering "RNUM," "DPTC," and Abolishment "ABOL" computer report will serve as notice to the Bureau that a position has been abolished.~~
- ~~3.C.~~ If the appointing authority has reason to believe that a position abolishment may impact the classification of other positions, written notice of the affected positions should be submitted to the Bureau for review.

5. PROCEDURES

A. ~~A.~~ PREAUTHORIZED POSITION ESTABLISHMENTS AND REALLOCATIONS RECLASSIFICATIONS

Responsibility

Appointing Authority

Action

1. Receives a Position Description and a request from agency management to ~~either establish or reclassify~~ reallocate an employee's position in a preauthorized classification.
2. Reviews the request for compliance with the standards set forth in Civil Service regulations.
3. If approved, reclassifies the employee to the appropriate grade-level with the necessary documentation in the employee file. Executes ~~Enters~~ the reclassification information in the HRMNPPRISM in accordance with the MAIN Human Resources System (HRS) Procedures Manual.

B. REQUEST FOR AN EARLY REALLOCATION

Responsibility

Appointing Authority

Action

Bureau

- ~~1. Submits a Position Action Request (CS-129T) and Position Description forms to the Bureau to request an early reallocation.~~
- ~~2. Reviews request for compliance with the standards set forth in Civil Service regulations.~~
- ~~3. If approved, reallocates the position to the appropriate classification with the necessary documentation on the Position Action Requests and enters the necessary approved information in the Personnel Payroll Reporting Information System of Michigan (PPRISM). If disapproved, documents the reasons.~~

Appointing Authority

- ~~4. Releases the Position Action Response (CS-129A) form to the appointing authority.~~
- ~~5. If disapproved, documents the reasons on the Position Action Response form and informs incumbent of the classification action and appeal rights.~~
- ~~6. Receives the Position Action Response form and matches the information in PPRISM.~~
- ~~7. Informs agency management of the classification action.~~

C. POSITION RENUMBERINGS

Responsibility

Appointing Authority

Action

- ~~1. Enters the position inventory renumberings using the appropriate transaction code(s) in accordance with the procedures set forth in the MAIN Human Resources System (HRS) Procedures Manual.~~
- ~~2. If position's duties and responsibilities and/or organizational hierarchy are changed as a result of the renumbering such that the classification may be affected, submits a Position Action Request, Position Description, and the old and new organizational charts to the Bureau for a review.~~
- ~~3. Receives the Position Action Request and reviews the request in accordance with standards set forth in this regulation and other regulations.~~
- ~~4. If approved, allocates the position in the appropriate classification with the necessary documentation on the Position Action Request and enters the information in PPRISM. If disapproved, documents the reason.~~

Bureau

Appointing Authority

- ~~5. If disapproved, documents the reasons on the Position Action Response form and informs incumbent of the classification action and appeal rights.~~
- ~~6. Releases the Position Action Response form.~~
- ~~7. Receives the Bureau-completed Position Action Request and matches the information in PPRISM.~~
- ~~8. Informs agency management of the classification action.~~

B. ~~D.~~ ABOLISHING POSITIONS

Responsibility

Appointing Authority

Action

Department of Civil Service

Appointing Authority

1. Submits Position Action Request (CS-129) to the Department of Civil Service identifying position code to be inactivated. ~~Enters the position abolishment using the appropriate transaction code(s) in accordance with the procedures set forth in the MAIN Human Resources System (HRS) Procedures Manual.~~
2. Processes abolishment in the HRMN by inactivating the position code.
3. Releases the Position Action Request (CS-129) to the appointing authority.
4. Receives the Position Action Request form and verifies the information in the HRMN.

CONTACT


Questions regarding this regulation should be directed to the ~~Bureau of Human Resource Services~~, Department of Civil Service, P.O. Box 30002, 400 South Pine Street, Lansing, Michigan 48909, (517) 373-3048 or 1-800-788-1766, or MDCS-BHRS@state.mi.us.

~~April 25, 1999~~ August 20,
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NOTE: Regulations are issued by the State Personnel Director under authority granted in the State of Michigan *Constitution* and the *Michigan Civil Service Commission Rules*. Regulations that implement Commission Rules are subordinate to those Rules.

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